



UNITED STATES  
PATENT AND  
TRADEMARK OFFICE

00875.009052

APRIL 23, 2002

PTAS

SCHWEGMAN, LUNDBERG, WOESSNER, ET AL  
ANN S. VIKSNINS  
P.O. BOX 2938  
MINNEAPOLIS, MN 55402

Chief Financial Officer and Chief Administrative Officer  
Washington, DC 20231  
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\*102001267A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

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PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 02/14/2002

REEL/FRAME: 012614/0761  
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:  
APICELLA, MICHAEL A.

DOC DATE: 01/07/2002

ASSIGNOR:  
GIBSON, BRADFORD W.

DOC DATE: 01/09/2002

ASSIGNOR:  
PHILLIPS, NANCY J.

DOC DATE: 01/09/2002

ASSIGNEE:  
IOWA, UNIVERSITY OF RESEARCH  
FOUNDATION  
214 TECHNOLOGY INNOVATION CENTER  
IOWA CITY, IOWA 52242

SERIAL NUMBER: 09991374  
PATENT NUMBER:

FILING DATE: 11/16/2001  
ISSUE DATE:

OAS PATENT

Schwegman, Lundberg,  
Woessner & Kluth, P.A.

MAY 1 2002

APR 29 2002

Schwegman, Lundberg,  
Woessner & Kluth, P.A.

RECEIVED

012614/0761 PAGE 2

LAZENA MARTIN, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

FORM PTO-1594  
01-10-96:CMG

03-04-2002

T

DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Atty Ref/Docket No.: 875.009US2



To the Honorable Commissioner of Patents and Trad.

102001267

or copy thereof.

## 1. Name of conveying party(ies):

Michael A. Apicella, Bradford W. Gibson and Nancy J. Phillips

2-14-02

## 2. Name and address of receiving party(ies):

Name: University of Iowa Research Foundation

Additional name(s) of conveying party(ies) attached? [ ] Yes [X] No

Street Address: 214 Technology Innovation Center

## 3. Nature of conveyance:

- [X] Assignment [ ] Merger  
[ ] Security Agreement [ ] Change of Name  
[ ] Other \_\_\_\_\_

City: Iowa City State: IA ZIP: 52242

Additional name(s) &amp; address(es) attached? [ ] Yes [X] No

Execution Date: January 7, 2002; January 9, 2002; January 9, 2002;

## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No.(s)

B. Patent No.(s)

Serial No. 09/991,374, filed November 16, 2001

FEB 14 2002

Additional numbers attached? [ ] Yes [X] No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Ann S. Viksnins

## 6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41): \$ 40.00

Address: Schwegman, Lundberg, Woessner & Kluth, P.A.  
P.O. Box 2938  
Minneapolis, MN 55402[X] Enclosed  
[ ] Authorized to be charged to deposit account8. Please charge any additional fees or credit any overpayments to our  
Deposit account number: 19-0743

DO NOT USE THIS SPACE

## 9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Ann S. Viksnins/Reg. No. 37,748

Name of Person Signing

Signature

28 January 2002

Date

Total number of pages including cover sheet: 4

OMB No. 0651-0011 (exp. 4/94)

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01 FC-581 40.00 OP  
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**ASSIGNMENT**

WHEREAS, WE, Michael A. Apicella, residing at 2646 Johnsons Crossing, N.E., Solon, IA 52333, and Bradford W. Gibson, residing at 1324 Peralta Avenue, Berkeley, CA 94702, and Nancy J. Phillips, residing at 6018 Colby Street, Oakland, CA 94618, made certain new and useful inventions and improvements for which We filed an application for Letters Patent of the United States on November 16, 2001, which application was assigned U.S. patent application serial number 09/991,374, and is entitled PRODUCTION OF COMPLEX CARBOHYDRATES.

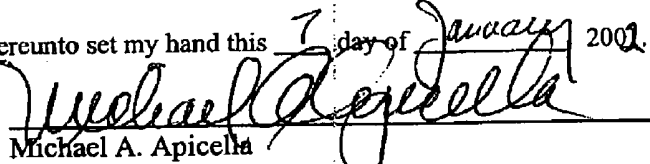
AND WHEREAS, University of Iowa Research Foundation, a corporation organized and existing under and by virtue of the laws of the State of Iowa, and having an office and place of business at 214 Technology Innovation Center, Iowa City, IA 52242, (hereinafter "Assignee") is desirous of acquiring the entire right, title and interest in and to said inventions, improvements and application and in and to the Letters Patent to be obtained therefore;

NOW, THEREFORE, to all whom it may concern, be it known that for good and valuable consideration, the receipt and sufficiency whereof is hereby acknowledged, we have sold, assigned, and transferred, and by these presents do sell, assign and transfer unto said Assignee, its successors or assigns, the entire right, title and interest for all countries in and to all inventions and improvements disclosed in the aforesaid application, and in and to the said application, all divisions, continuations, continuations-in-part, or renewals thereof, all Letters Patent which may be granted therefrom, and all reissues or extensions of such patents, and in and to any and all applications which have been or shall be filed in any foreign countries for Letters Patent on the said inventions and improvements, including an assignment of all rights under the provisions of the International Convention, and all Letters Patent of foreign countries which may be granted therefrom; and we do hereby authorize and request the Commissioner of Patents and Trademarks to issue any and all United States Letters Patent for the aforesaid inventions and improvements to the said Assignee as the assignee of the entire right, title and interest in and to the same, for the use of the said Assignee, its successors and assigns.

AND, for the consideration aforesaid, we do hereby agree that we and our executors and legal representatives will make, execute and deliver any and all other instruments in writing including any and all further application papers, affidavits, assignments and other documents, and will communicate to said Assignee, its successors and representatives all facts known to us relating to said improvements and the history thereof and will testify in all legal proceedings and generally do all things which may be necessary or desirable more effectually to secure to and vest in said Assignee, its successors or assigns the entire right, title and interest in and to the said improvements, inventions, applications, Letters Patent, rights, titles, benefits, privileges and advantages hereby sold, assigned and conveyed, or intended so to be.

Docket No.: 875.009US2  
Serial No.: 09/991,374  
Filing Date: November 16, 2001  
Page 2 of 3

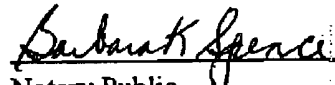
AND, furthermore we covenant and agree with said Assignee, its successors and assigns, that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by me/us and that full right to convey the same as herein expressed is possessed by us.

IN TESTIMONY WHEREOF, I have hereunto set my hand this 7 day of January 2002.  
  
Michael A. Apicella

STATE OF Iowa )  
                                  )ss.  
COUNTY OF Johnson )

On this 7 day of January, 2002 before me personally appeared Michael A. Apicella to me known and known to me to be the person described in and who executed the foregoing instrument, and he/she duly acknowledged to me that he/she executed the same for the uses and purposes therein set forth.

[SEAL]

  
Notary Public

Docket No.: 875.009US2  
 Serial No.: 09/991,374  
 Filing Date: November 16, 2001  
 Page 3 of 3

IN TESTIMONY WHEREOF, I have hereunto set my hand this 9<sup>th</sup> day of January, 200~~1~~<sup>2</sup>.

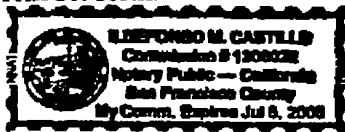
Bradford W. Gibson  
 Bradford W. Gibson

STATE OF CALIF.

COUNTY OF SAN FRANCISCO

On this 9<sup>th</sup> day of JAN., 200~~1~~<sup>2</sup> before me personally appeared Bradford W. Gibson to me known and known to me to be the person described in and who executed the foregoing instrument, and he/she duly acknowledged to me that he/she executed the same for the uses and purposes therein set forth.

[SEAL]



Ildefonso M. Castillo  
 Notary Public

IN TESTIMONY WHEREOF, I have hereunto set my hand this 9<sup>th</sup> day of January, 200~~1~~<sup>2</sup>.

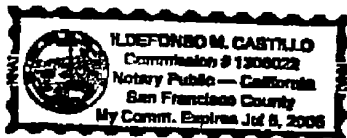
Nancy J. Phillips  
 Nancy J. Phillips

STATE OF CALIF.

COUNTY OF SAN FRANCISCO

On this 9<sup>th</sup> day of JAN., 200~~1~~<sup>2</sup> before me personally appeared Nancy J. Phillips to me known and known to me to be the person described in and who executed the foregoing instrument, and he/she duly acknowledged to me that he/she executed the same for the uses and purposes therein set forth.

[SEAL]



Ildefonso M. Castillo  
 Notary Public

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Michael A. Apicella et al.

Title: PRODUCTION OF COMPLEX CARBOHYDRATES

Docket No.: 875.009US2

Serial No.: 09/991,374

Filed: November 16, 2001

Due Date: N/A

Examiner:

Group Art Unit: 1651

Attn: Box Assignment

Hon. Commissioner for Patents and Trademarks

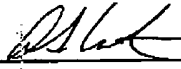
Washington, D.C. 20231

We are transmitting herewith the attached:

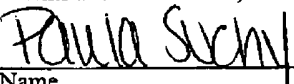
- ☒ An Assignment of the invention to University of Iowa Research Foundation (3 pgs.) and Recordation Form Cover Sheet (1 pg.).
- ☒ A check in the amount of \$40.00 to cover the Assignment Recording Fee.
- ☒ A return postcard.

Please charge any additional required fees or credit overpayment to Deposit Account No. 19-0743.

SCHWEGMAN, LUNDBERG, WOESSNER & KLUTH, P.A.  
P.O. Box 2938, Minneapolis, MN 55402 (612-373-6900)

By:   
Name: Ann S. Viksnins  
Reg. No. 37,748  
ASV:CMG:pms

CERTIFICATE UNDER 37 CFR 1.8: The undersigned hereby certifies that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail, in an envelope addressed to: Attn: Box Assignment, Hon. Commissioner for Patents and Trademarks, Washington, D.C. 20231, on this 29 day of January, 2002.

  
Name

  
Signature